



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/846,682	05/02/2001	Michael Sasges	T8466399US

26912  
 GOWLING LAFLEUR HENDERSON LLP  
 COMMERCE COURT WEST, SUITE 4900  
 TORONTO, ON M5L 1J3  
 CANADA

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

CONFIRMATION NO. 2919

## FORMALITIES LETTER

OC000000006230104

Date Mailed: 06/27/2001

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- o Total additional claim fee(s) for this application is \$9.
  - \$9 for 1 total claims over 20.
- o The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 429.

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*A copy of this notice MUST be returned with the reply.*

*Zensel M.*  
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

## PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/30/2001 JBALINAN 00000072 071750 09846682

01 FC:201	370.00 CH
02 FC:203	9.00 CH
03 FC:205	65.00 CH

Sector 5  
SBS

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)

Docket No.  
T8466399US

In Re Application Of  
SASGES, Michael

OCT 29 2001

Serial No.  
09/846,682

Filing Date  
May 2, 2001

Examiner

Group Art Unit

Invention:

OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on

June 27, 2001  
Date

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED)
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.

One verified small entity declaration(s)

- is/are attached.
- was/were filed on \_\_\_\_\_

A separate request for refund.

Other (list):

Assignment Transmittal

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)

Docket No.  
T8466399US

In Re Application Of:

SASGES, Michael

Serial No.  
09/846,682

Filing Date  
May 2, 2001

Examiner

Group Art Unit

Invention:

OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

Attention: Manager, Application Branch

~~TRADEMARK OFFICE~~ Completion of application fees as calculated below:

<input checked="" type="checkbox"/> Utility application filing fee	<u>\$370.00</u>
<input type="checkbox"/> Design application filing fee	<u> </u>
<input checked="" type="checkbox"/> Total number of independent claims = <u>3</u>	<u> </u>
<input checked="" type="checkbox"/> Total number of claims = <u>21</u>	<u>\$9.00</u>
<input type="checkbox"/> Multiple dependent claims	<u> </u>
<input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath	<u>\$65.00</u>
<input type="checkbox"/> Petition and fee for filing by other than all the inventors or a person not the inventor	<u> </u>
<input type="checkbox"/> Fee for processing an application filed with a non-English language specification	<u> </u>
<input type="checkbox"/> Fee for processing and retention of application	<u> </u>
<b>Total completion of application fees</b> <u>\$444.00</u>	

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

One month       Two months       Three months       Four months       Five months

from: August 27, 2001      Date      until: October 27, 2001      Date

Total time extension fees \$200.00

Total fees due \$644.00

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)

Docket No.  
T8466399US

In Re Application Of:

SASGES, Michael

Serial No.  
09/846,682

Filing Date  
May 2, 2001

Examiner

Group Art Unit

Invention:

OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

The fee of \$644.00 is to be paid as follows:

- A check in the amount of the fee is enclosed.
- The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 07-1750  
A duplicate copy of this sheet is enclosed.
- If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 07-1750  
A duplicate copy of this sheet is enclosed.



Signature

Dated: October 29, 2001

I certify that this document and fee is being deposited on [redacted] with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Signature of Person Mailing Correspondence*

*Typed or Printed Name of Person Mailing Correspondence*

CC:

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN				Docket No. T8466399US
Serial No. 09/846,682	Filing Date May 2, 2001	Patent No.	Issue Date	
<p>Applicant/ <b>TROJAN TECHNOLOGIES INC.</b>        Patentee:</p> <p>Invention: <b>OPTICAL SENSING AND CONTROL OF ULTRAVIOLET FLUID TREATMENT DYNAMICS</b></p> <p style="text-align: center; margin-top: 10px;">OCT 29 2001 PATENT &amp; TRADEMARK OFFICE</p>				
<p>I hereby declare that I am:</p> <p><input type="checkbox"/> the owner of the small business concern identified below:  <input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:</p>				
<p>NAME OF CONCERN: <u>Trojan Technologies Inc.</u></p> <p>ADDRESS OF CONCERN: <u>3020 Gore Road, London, Ontario, Canada N5V 4T7</u></p>				
<p>I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p>				
<p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above.  <input checked="" type="checkbox"/> the application identified above.  <input type="checkbox"/> the patent identified above.</p>				
<p>If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p>				

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

no such person, concern or organization exists.  
 each such person, concern or organization is listed below.

FULL NAME	_____		
ADDRESS	_____		
	<input type="checkbox"/> Individual	<input type="checkbox"/> Small Business Concern	<input type="checkbox"/> Nonprofit Organization
FULL NAME	_____		
ADDRESS	_____		
	<input type="checkbox"/> Individual	<input type="checkbox"/> Small Business Concern	<input type="checkbox"/> Nonprofit Organization
FULL NAME	_____		
ADDRESS	_____		
	<input type="checkbox"/> Individual	<input type="checkbox"/> Small Business Concern	<input type="checkbox"/> Nonprofit Organization
FULL NAME	_____		
ADDRESS	_____		
	<input type="checkbox"/> Individual	<input type="checkbox"/> Small Business Concern	<input type="checkbox"/> Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: MARTIN J. BRACZEN  
 TITLE OF PERSON SIGNING: INTELLECTUAL PROPERTY MANAGER.  
 OTHER THAN OWNER:  
 ADDRESS OF PERSON SIGNING: 416 PINETREE DRIVE, LONDON, ON, CANADA N6A 3M8.

SIGNATURE: Erin Kelly Braczen DATE: Sept 26/2001